



GP 2711  
Docket No. UV-48

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Michael D. Ellis  
Serial No. : 09/262,870  
Filed: : March 4, 1999  
For : PROGRAM GUIDE SYSTEM WITH  
VIDEO-ON-DEMAND BROWSING  
Group Art Unit : 2711  
Examiner : Not Yet Assigned

MC  
5/28/99  
RECEIVED  
MAY 26 1999  
#2  
Group 2700

New York, New York 10020  
May 20, 1999

Hon. Assistant Commissioner  
for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER FOR  
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure  
Statement in the above-identified application. This Statement  
is submitted:

☒ [X] within three months of the application filing  
date;

☐ [ ] more than three months from the application  
filing date but before the mailing date of the  
first Office Action on the merits.

In accordance with 37 C.F.R. § 1.98, submission of  
this Statement requires no fee. However, if for any reason a  
fee is due, the Commissioner is hereby authorized to charge

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /H.L./

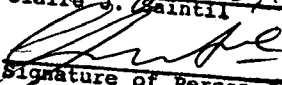
payment of any fees required in connection with this  
Information Disclosure Statement to Deposit Account  
No. 06-1075. A duplicate copy of this letter is transmitted  
herewith.

Respectfully submitted,



Michael E. Shanahan  
Registration No. 43,914  
Agent for Applicant  
c/o FISH & NEAVE  
1251 Avenue Of The Americas  
New York, New York 10020  
Tel.: (212) 596-9000

I Hereby Certify that this  
Correspondence is being  
Deposited with the U.S.  
Postal Service as First  
Class Mail in an Envelope  
Addressed to: ASSISTANT  
COMMISSIONER FOR  
PATENTS  
WASHINGTON, D.C. 20231 on

May 20, 1995  
Claire J. Saintil  
  
Signature of Person Signing

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Michael D. Ellis  
Serial No. : 09/262,870  
Filed : March 4, 1999  
For : PROGRAM GUIDE WITH VIDEO-ON-DEMAND  
BROWSING  
Group Art Unit : 2711  
Examiner : Not Yet Assigned  
Hon. Assistant Commissioner  
for Patents  
Washington, DC. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicants wish to call the attention of the Examiner to the  
following documents:

U.S. PATENTS

|           |                |          |
|-----------|----------------|----------|
| 4,488,179 | Krüger et al.  | 12/11/84 |
| 4,706,121 | Young          | 11/10/87 |
| 4,751,578 | Reiter et al.  | 6/14/88  |
| 4,787,063 | Muguet         | 11/22/88 |
| 4,963,994 | Levine         | 10/16/90 |
| 4,977,455 | Young          | 12/11/90 |
| 5,027,400 | Baji et al.    | 6/25/91  |
| 5,038,211 | Hallenbeck     | 8/6/91   |
| 5,047,867 | Strubbe et al. | 9/10/91  |
| 5,151,789 | Young          | 9/29/92  |
| 5,231,493 | Apitz          | 7/27/93  |
| 5,253,066 | Vogel          | 10/12/93 |
| 5,299,006 | Kim            | 3/29/94  |
| 5,353,121 | Young et al.   | 10/4/94  |
| 5,412,720 | Hoarty         | 5/2/95   |
| 5,465,385 | Ohga et al.    | 11/7/95  |
| 5,479,268 | Young et al.   | 12/26/95 |

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /H.L./

|           |                  |          |
|-----------|------------------|----------|
| 5,502,504 | Marshall et al.  | 3/26/96  |
| 5,559,549 | Hendricks et al. | 9/24/96  |
| 5,589,892 | Knee et al.      | 12/31/96 |
| 5,594,509 | Florin et al.    | 1/14/97  |
| 5,600,364 | Hendricks et al. | 2/4/97   |
| 5,600,573 | Hendricks et al. | 2/4/97   |
| 5,659,350 | Hendricks et al. | 8/19/07  |
| 5,682,195 | Hendricks et al. | 10/28/97 |
| 5,710,601 | Marshall et al.  | 1/20/98  |
| 5,752,160 | Dunn             | 5/12/98  |
| 5,734,853 | Hendricks et al. | 3/31/98  |
| 5,793,412 | Asamizuya        | 8/11/98  |
| 5,793,971 | Fujita et al.    | 8/11/98  |
| 5,805,154 | Brown            | 9/8/98   |
| 5,781,227 | Goode et al.     | 7/14/98  |
| 5,557,338 | Maze et al.      | 9/17/96  |
| 5,619,249 | Billock et al.   | 4/8/97   |

#### FOREIGN PATENTS

|              |       |          |
|--------------|-------|----------|
| 0 624 039 A2 | EPO   | 11/9/94  |
| 60-61935     | Japan | 9/4/85   |
| WO 95/01058  | PCT   | 1/5/95   |
| WO 97/34414  | PCT   | 9/18/97  |
| WO 97/42763  | PCT   | 11/13/97 |
| WO 97/49242  | PCT   | 12/24/97 |
| WO 98/06219  | PCT   | 2/12/98  |
| WO 98/27723  | PCT   | 6/25/98  |
| WO 98/18260  | PCT   | 4/30/98  |
| WO 98/19459  | PCT   | 5/7/98   |
| WO 98/31115  | PCT   | 7/16/98  |
| WO 98/31116  | PCT   | 7/16/98  |

#### OTHER PUBLICATIONS

"Addressable Converters: A New Development at CableData," *Via Cable*, Vol. 1, No. 12 (December 1981).

James Sorce et al., "Designing a Broadband Residential Entertainment Service: A Case Study," 13th International Symposium Human Factors in Telecommunications, Torino, Italy, September 10-14, 1990 pp. 141-148.

Vito Brugliera, "Digital On-Screen Display - A New Technology for the Consumer Interface," *Symposium Record Cable Sessions*, 18th International Television Symposium and Technoical Exhibition, Montreux, Switzerland 10-15 June 1993, pp. 571-586 (June 11, 1993).

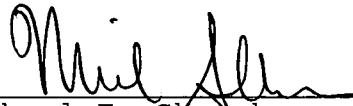
CableData brochure, "A New Approach To Addressability"  
(undated).

Yee-Hsiang Chang et al., "An Open-Systems Approach to  
Video on Demand," *IEEE Communications Magazine*, Vol.  
32, pp. 68-80 (May 1994).

Matthew D. Miller, "A Scenario for the Deployment of  
Interactive Multimedia Cable Television Systems in the  
United States in the 1990's," *Proceedings of the IEEE*,  
Vol. 82, No. 4, pp. 585-589 (April 1994).

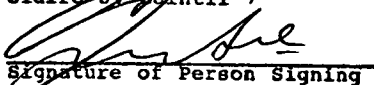
Consideration of the foregoing in relation to this  
patent application is respectfully requested.

Respectfully submitted,



Michael E. Shanahan  
Reg. No. 43,914  
Agent for Applicant  
c/o FISH & NEAVE  
1251 Avenue of the Americas  
New York, New York 10020-1104  
Tel.: (212) 596-9000

I Heraby Certify that this  
Correspondence is being  
Deposited with the U.S.  
Postal Service as First  
Class Mail in an Envelope  
Addressed to: ASSISTANT  
COMMISSIONER FOR  
PATENTS  
WASHINGTON, D.C. 20231 on

May 20, 1997  
Claire M. Scantlin  
  
Signature of Person Signing

|  |  |                               |                          |
|--|--|-------------------------------|--------------------------|
| FORM PTO-1449                                    | U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE | ATTY. DOCKET NO.<br>UV-48     | SERIAL NO.<br>09/262,870 |
| INFORMATION DISCLOSURE<br>STATEMENT BY APPLICANT |  | APPLICANT<br>Michael D. Ellis |                          |
|  |  | FILING DATE<br>March 4, 1999  | GROUP<br>2711            |



## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE     | NAME             | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|---------------------|--------------------|----------|------------------|-------|----------|-------------------------------|
|                     | 4,488,179          | 12/11/84 | Krüger et al.    | 358   | 181      |                               |
|                     | 4,706,121          | 11/10/87 | Young            | 358   | 142      |                               |
|                     | 4,751,578          | 6/14/88  | Reiter et al.    | 358   | 183      |                               |
|                     | 4,787,063          | 11/22/88 | Muguet           | 364   | 900      |                               |
|                     | 4,963,994          | 10/16/90 | Levine           | 358   | 335      |                               |
|                     | 4,977,455          | 12/11/90 | Young            | 358   | 142      |                               |
|                     | 5,027,400          | 6/25/91  | Baji et al.      | 380   | 20       |                               |
|                     | 5,038,211          | 8/6/91   | Hallenbeck       | 358   | 142      |                               |
|                     | 5,047,867          | 9/10/91  | Strubbe et al.   | 358   | 335      |                               |
|                     | 5,151,789          | 9/29/92  | Young            | 358   | 194.1    |                               |
|                     | 5,231,493          | 7/27/93  | Apitz            | 358   | 146      |                               |
|                     | 5,253,066          | 10/12/93 | Vogel            | 358   | 188      |                               |
|                     | 5,299,006          | 3/29/94  | Kim              | 348   | 571      |                               |
|                     | 5,353,121          | 10/4/94  | Young et al.     | 348   | 563      |                               |
|                     | 5,412,720          | 5/2/95   | Hoarty           | 380   | 15       |                               |
|                     | 5,465,385          | 11/7/95  | Ohga et al.      | 455   | 6.1      |                               |
|                     | 5,479,268          | 12/26/95 | Young et al.     | 358   | 335      |                               |
|                     | 5,502,504          | 3/26/96  | Marshall et al.  | 348   | 565      |                               |
|                     | 5,559,549          | 9/24/96  | Hendricks et al. | 348   | 6        |                               |
|                     | 5,589,892          | 12/31/96 | Knee et al.      | 348   | 731      |                               |
|                     | 5,594,509          | 1/14/97  | Florin et al.    | 348   | 731      |                               |
|                     | 5,600,364          | 2/4/97   | Hendricks et al. | 348   | 1        |                               |
|                     | 5,600,573          | 2/4/97   | Hendricks et al. | 364   | 514      |                               |
|                     | 5,659,350          | 8/19/97  | Hendricks et al. | 348   | 6        |                               |
|                     | 5,682,195          | 10/28/97 | Hendricks et al. | 348   | 6        |                               |
|                     | 5,710,601          | 1/20/98  | Marshall et al.  | 348   | 564      |                               |
|                     | 5,752,160          | 5/12/98  | Dunn             | 455   | 5.1      |                               |
|                     | 5,734,853          | 3/31/98  | Hendricks et al. | 395   | 352      |                               |
|                     | 5,793,412          | 8/11/98  | Asamizuya        | 348   | 7        |                               |

RECEIVED  
MAY 26 1999  
Group 2700

EXAMINER

DATE CONSIDERED

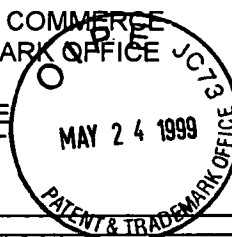
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /H.L./

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
UV-48SERIAL NO.  
09/262,870INFORMATION DISCLOSURE  
STATEMENT BY APPLICANTAPPLICANT  
Michael D. EllisFILING DATE  
March 4, 1999

RECEIVED



MAY 26 1999

|  |           |         |                |     |        |            |
|--|-----------|---------|----------------|-----|--------|------------|
|  | 5,793,971 | 8/11/98 | Fujita et al.  | 395 | 200.49 |            |
|  | 5,805,154 | 9/8/98  | Brown          | 345 | 327    | Group 2700 |
|  | 5,619,249 | 4/8/97  | Billock et al. | 348 | 7      |            |
|  | 5,781,227 | 7/14/98 | Goode et al.   | 348 | 7      |            |
|  | 5,557,338 | 9/17/96 | Maze et al.    | 348 | 565    |            |
|  |           |         |                |     |        |            |

## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT NUMBER | DATE     | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|---------------------|-----------------|----------|---------|-------|----------|-------------|----|
|                     |                 |          |         |       |          | YES         | NO |
|                     | 0 624 039 A2    | 11/9/94  | EPO     | H04N  | 7/173    |             |    |
|                     | 60-61935        | 4/9/85   | Japan   | G11B  | 15/02    |             |    |
|                     | WO 95/01058     | 1/5/95   | PCT     | H04N  | 7/16     |             |    |
|                     | WO 97/34414     | 9/18/97  | PCT     | H04N  | 5/45     |             |    |
|                     | WO 97/42763     | 11/13/97 | PCT     | H04N  | 7/135    |             |    |
|                     | WO 97/49242     | 12/24/97 | PCT     | H04N  | 7/10     |             |    |
|                     | WO 98/06219     | 2/12/98  | PCT     | H04N  | 7/10     |             |    |
|                     | WO 98/27723     | 6/25/98  | PCT     | H04N  | 5/445    |             |    |
|                     | WO 98/18260     | 4/30/98  | PCT     | H04N  | 7/173    |             |    |
|                     | WO 98/19459     | 5/7/98   | PCT     | H04N  | 7/167    |             |    |
|                     | WO 98/31115     | 7/16/98  | PCT     | H04J  |          |             |    |
|                     | WO 98/31116     | 7/16/98  | PCT     | H04J  |          |             |    |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

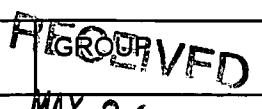
| EXAMINER<br>INITIAL |   |
|---------------------|---|
|                     | "Addressable Converters: A New Development at CableData," <i>Via Cable</i> , Vol. 1, No. 12 (December 1981).  |
|                     | James Sorce et al., "Designing a Broadband Residential Entertainment Service: A Case Study," 13th International Symposium Human Factors in Telecommunications, Torino, Italy, September 10-14, 1990 pp. 141-148.  |
|                     | Vito Brugliera, "Digital On-Screen Display - A New Technology for the Consumer Interface," <i>Symposium Record Cable Sessions</i> , 18th International Television Symposium and Technical Exhibition, Montreux, Switzerland 10-15 June 1993, pp. 571-586 (June 11, 1993). |
|                     | CableData brochure, "A New Approach To Addressability" (undated).   |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /H.L./

|  |  |                               |   |
|--|--|-------------------------------|---|
| FORM PTO-1449                                    | U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE | ATTY. DOCKET NO.<br>UV-48     | SERIAL NO.<br>09/262,870  |
| INFORMATION DISCLOSURE<br>STATEMENT BY APPLICANT |  | APPLICANT<br>Michael D. Ellis |  |
|  |  | FILING DATE<br>March 4, 1999  |   |



OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

| EXAMINER<br>INITIAL |  |
|---------------------|--|
|                     | Yee-Hsiang Chang et al., "An Open-Systems Approach to Video on Demand," <i>IEEE Communications Magazine</i> , Vol. 32, pp. 68-80 (May 1994).   |
|                     | Matthew D. Miller, "A Scenario for the Deployment of Interactive Multimedia Cable Television Systems in the United States in the 1990's," <i>Proceedings of the IEEE</i> , Vol. 82, No. 4, pp. 585-589 (April 1994). |
|                     |  |
|                     |  |
|                     |  |
|                     |  |
|                     |  |
|                     |  |
|                     |  |
|                     |  |
|                     |  |

EXAMINER /Hunter Lonsberry/

DATE CONSIDERED

08/05/2008

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /H.L./